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PATENT
Attorney Docket No.: 015358-006710US

at Fax No. 1-703-746-7240

On April 16, 2002

TOWNSEND and TOWNSEND and CREW LLP

By: [Signature]



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

DAVID G. STORK et al.

Application No.: 10/054,749

Filed: January 18, 2002

For: METHOD AND APPARATUS FOR
PERMISSIONS BASED ACTIVE
DOCUMENT WORKFLOW

Examiner: To Be Assigned

Art Unit: 2171

INFORMATION DISCLOSURE
STATEMENT UNDER 37 CFR §1.97 and
§1.98

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

The references cited on attached form PTO/SB/08A and PTO/SB/08B are being called to the attention of the Examiner. In accordance with 37 CFR §1.98(d), copies of the references can be found in Application No. 09/958,000, filed September 20, 2001 (Attorney Docket No. 015358-006700US) from which the present application claims priority. It is respectfully requested that the cited references be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no

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Application No.: 10/054,749
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representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

Applicant believes that no fee is required for submission of this statement, since it is being submitted prior to the first Office Action. However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

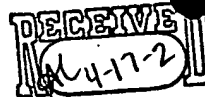
Respectfully submitted,

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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 1 of 3

Complete if Known

Application Number	10/054,749
Filing Date	January 18, 2002
First Named Inventor	Stork, David G.
Group Art Unit	2171
Examiner Name	To Be Assigned
Attorney Docket Number	015358-006710US

U.S. PATENT DOCUMENTS						
Examiner Initials ^a	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
	AA	RE 31,287		Paoli	08-21-1983	
	AB	4,068,214		Paoli	01-10-1978	
	AC	4,644,481		Jennings	02-17-1987	
	AD	4,700,187		Furtek	10-13-1987	
	AE	4,868,805		Nakano et al.	09-12-1989	
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	AO	6,178,239	B1	Kishinsky et al.	01-23-2001	
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	AQ	6,256,598	B1	Park et al.	07-03-2001	

FOREIGN PATENT DOCUMENTS								
Examiner Initials ^a	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (if known)				
	AR	DE	4301391	A1	Vetterkind, D.	08-11-1984		
	AS	DE	19821062	A1	Siemens, A.G.	11-27-1997		
	AT	JP	7160773	A	Omron, K.K.	08-23-1995		
	AU	JP	10049208	A	Kobe Steel, Ltd.	02-20-1999		
	AV	JP	10058288	A	Toshiba, K.K.	03-03-1998		
	AW	JP	10124110	A	Ebara Corp.	05-15-1998		
	AX	JP	10240714	A	Toshiba, K.K.	09-11-1998		
	AY	JP	11328259	A	Nippon Steel Corp.	11-30-1999		

Examiner Signature		Date Considered	
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¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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Sheet **2** of **3****Complete if Known**

Application Number	10/054,749
Filing Date	January 18, 2002
First Named Inventor	Stork, David G.
Group Art Unit	2171
Examiner Name	To Be Assigned
Attorney Docket Number	015358-006710US

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	AZ	ACETO, L. and HENNESSY, M., "Adding Action Refinement to a Finite Process Algebra", Information and Computation, 115, pp. 179-247 (1994).	
	BA	ANONYMOUS, "Petri net approach to checking software structural change correctness in operation - using changed region analysis to identify parts still needing further checking using set of linear expressions in logic relationship," RD 348009 A, p. 225, (4-10-1993).	
	BB	BAI, YUE-BIN, LIU, YI, MA, JIAN-SHE, and ZHENG, SHOU-QI, "Research and Implementation of Distributed Security Administration System for Remote Access Based on NAS," Mini-Micro Systems, Vol. 21, No. 11, pp. 1197-2000 (Nov. 2000).	
	BC	BAUDERON, M. and COURCELLE, B. "Graph Expressions and Graph Rewriting," Mathematical Systems Theory, Vol. 20, pp. 83-127, (1987).	
	BD	CHUN, Yang, "Application and Research of a User Name and Password Authentication Based on SOCKS V5," Journal of University of Electronic Science and Technology of China, Vol. 30, No. 2, pp. 162-165 (Apr. 2001).	
	BE	DOYLE, E.M., TAVERES, S.E., and MEIJER, H., "Computer Analysis of Cryptographic Protocols Using Colored Petri Nets," 18th Biennial Symposium on Communication Symposium Proceedings, pp. 194-199 (June, 1996).	
	BF	EL-HADJID, M.T., HEBAZI, N.H., and ASLAN, H.K., "Implementation of a Hybrid Encryption Scheme for Ethernet," Proceedings of IEEE Symposium on Computers and Communications, Alexandria, Egypt, pp. 150-158 (June 1995).	
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	BH	JUSZCZYSZYN, K., "Secure Information Flow Model for Corporate Network," Information Systems Architecture and Technology ISAT 2000, pp. 272-279, (2000).	
	BI	KARRI, R., "A Security Imbedded Authentication Protocol," IEEE INFOCOM '88 - The Conference on Computer Communications Proceedings, pp. 1105-1109 (March 1988).	
	BJ	KRAMER, B., "Rule-Enhanced Petri Nets for Software Process Modeling," SEKE '94 - The 8th International Conference on Software Engineering and Knowledge Engineering, pp. 493-500 (June 1994).	
	BK	MILNER, R., "Communicating and Mobile Systems: The π - Calculus," Cambridge University Press, Cambridge, UK, pp. 1-161, (1999).	
	BL	MIRSKY, E., and DEHON, A., "MATRIX: A Reconfigurable Computing Architecture with Configurable Instruction Distribution and Deployable Resources," Proceedings of IEEE Workshop of FPGAs for Custom Computing Machines, pp. 157-166, (1998).	
	BM	MURATA, T., "Petri nets: Properties, Analysis and Applications," Proceedings of the IEEE, Vol. 77, No. 4, pp. 541-580, (April 1989).	
	BN	MORTON, C.M., ROBART, L.C., and TAVARES, S.E., "Decomposition Techniques for Cryptographic Protocol Analysis," 1994 Canadian Conference on Electrical and Computer Engineering, pp. 335-339, (September 1994).	

Examiner Signature	Date Considered
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OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

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	BO	OHTA, A., OHBA, T., and HJSAMURA, T., "On Liveness of Subclasses of Petri Nets with Permission or Inhibitor Arcs," Trans. of the Society of Instrument and Control Engineers, Vol. 31, No. 10, pp. 1722-1729 (1995).	
	BP	SCHMIDT, H.W., "Prototyping and Analysis of Non-Sequential Systems Using Predicate-Event Nets," Journal Systems Software, Vol. 15, pp. 43-52, (1991).	
	BQ	VALETTE, R., "Analysis of Petri Nets By Stepwise Refinements," Journal of Computer and System Sciences, Vol. 18, No. 1, pp. 35-48, (1979).	
	BR	VAN DER AALST, WIL M.P., "Interorganizational Workflows: An approach based on message sequence charts and Petri Nets," website address: http://iml-www.fim.huy.nl/staff/wvdaalst/Publications/p70.pdf , from In Proceedings of PROLAMAT'98, IFIP Transactions, Trento, pp. 1-43, (1998).	
	BS	VAN DER AALST, WIL M.P., "Interorganizational Workflows: An approach based on message sequence charts and Petri Nets," Systems Analysis – Modelling – Stimulation (SAMS), Vol. 34, pp. 335-367, (1999).	
	BT	VAN DER AALST, WIL M.P., "Interorganizational Workflows: An approach based on message sequence charts and Petri Nets," Systems analysis – Modelling – Stimulation, Vol. 35, No. 3, pp. 345-367, (1999).	
	BU	VAN DER AALST, WIL M.P., "Three Good Reasons for Using a Petri-Net-Based Workflow Management System," Information and Process Integration in Enterprises: Rethinking Documents, Kluwer Academic Publishers, Norwell, MA, pp. 181-182 (1998).	
	BV	VAN GLABBEK, R., and GOLTZ, U., "Refinement of Actions in Causality Based Models," Proceedings of the Rex Workshop – Stepwise Refinement of Distributed Systems Models, Formalisms, Correctness, Mook, The Netherlands, pp. 287-300, (May 29 – June 2, 1989).	
	BW	VAN GLABBEK, R., WEIJLAND, P., "Branching Time and Abstraction in Bisimulation Semantics," Journal of the ACM, Vol. 43, No. 3, pp. 555-600 (May 1998).	
	BX	WEITZ, W., "SGML Nets: Integrating Document and Workflow Modeling," Proceedings of the 31st Annual Hawaii International Conference on System Sciences, IEEE, pp. 185-194 (1998).	

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